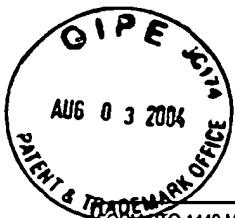




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INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant(s)	
(Use several sheets if necessary)		MacKinnon, Neil; Woodley, Bruce R.	
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*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
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	AB	4,384,750	5/24/83	Alfernness Hager	312 350	296 96	
	AC	4,384,760	5/24/83	Alfernness	385 350	11 96.14	
	AD	4,390,236	6/28/83	Alfernness	385 350	9 96.14	
	AE	4,445,751	5/1/84	Divens et al	385 350	43 96.14	
	AF	4,533,207	8/6/85	Alfernness	385 350	40 96.14	
	AG	4,667,331	5/19/87	Alfernness et al	372	12	
	AH	4,695,121	9/22/87	Mahapatra et al	385 350	40 96.12	
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	AJ	4,948,407	8/14/90	Bindell et al	65 64	386 314	
	AK	5,150,447	9/22/92	Tamada et al	385	130	
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OM	AQ	"Efficient Waveguide Electro-Optic TE↔TM Mode converter/Wavelength Filter", Alfernness et al., <i>Applied Physics Letters</i> , vol. 36, No. 7, April 1980, pp. 513-515.
OM	AR	"Switching Operations of Three-Waveguide Optical Switches", Kim et al., <i>IEEE Journal of Selected Topics in Quantum Electronics</i> , vol. 6, No. 1, Jan./Feb. 2000, pp. 170-174.
OM	AS	"Three-Waveguide Couplers for Improved Sampling and Filtering", Haus et al., <i>IEEE Journal of Quantum Electronics</i> , vol. QE-17, No. 12, Dec. 1981, pp. 2321-2325.

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<i>Sm</i>	AA 5,393,371	2/28/95	Chang et al	156	629	
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	AC 5,473,722	12/5/95	Sohler et al	385	132	
	AD 5,488,681	1/30/96	Deacon et al	385	37	
	AE 5,519,802	5/21/96	Field et al	385	129	
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<i>Sm</i>	AP	"Tunable Optical Waveguide Directional Coupler Filter", Alferness et al., <i>Applied Physics Letters</i> , vol. 33, No. 2, July 1978, pp. 161-163.
<i>Sm</i>	AQ	"Switched Directional Couplers with Alternating $\Delta\beta$ ", Kogelnik et al., <i>IEEE Journal of Quantum Electronics</i> , vol. QE-12, No. 7, July 1976, pp. 396-401.

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<i>Qm</i>	AA	6,041,071	3/21/00	Tayebati	372	64	
	AB	6,074,594	6/13/00	Byer et al	264	406	
	AC	6,101,210	8/8/00	Bestwick et al	372	96	
	AD	6,108,355	8/22/00	Zorabedian	372	20	
	AE	6,156,255	12/5/00	Byer et al	264	406	
	AF	6,156,483	12/5/00	McCoy et al	430	311	
<i>Qm</i>	AG	6,246,709 B1	6/12/01	Oshiba et al	372	50	
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AL	"Characteristics of Ti-Diffused Lithium Niobate Optical Directional Couplers", Alferness et al., <i>Applied Optics</i> , vol. 18, No. 23, Dec. 1979, pp. 4012-4016.
AM	"Coupling Optical Waveguides by Tapers", Nelson et al., <i>Applied Optics</i> , vol. 14, No. 12, Dec. 1975, pp. 3021-3015.
AN	"Tunable Optical Waveguide Directional Coupler Filter", Alferness et al., <i>Applied Physics Letters</i> , vol. 33, No. 2, July 1978, pp. 161-163. Duplicate See "AP"
AO	"Loss in Cleaved Ti-Diffused LiNbO ₃ Waveguides", Kaminow et al., <i>Applied Physics Letters</i> , vol. 33, No. 1, July 1978, pp. 62-64.
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Examiner *JM* Date Considered 12/04

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.

U.S. Department of Commerce, Patent and Trademark Office			Atty Docket No.	Serial No.				
			M-12004 US	-Unknown-				
INFORMATION DISCLOSURE STATEMENT BY APPLICANT			Applicant(s)	09-0154495				
(Use several sheets if necessary)			MacKinnon, Neil; Woodley, Bruce R.					
			Filing Date	Group				
			Herewith 9-1001	Unknown				
U.S. Patent Documents								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
	AA							
	AB							
	AC							
	AD							
Foreign Patent Documents					Translation			
		Document	Date	Country	Class	Subclass	Yes	No
	AE							
	AF							
	AG							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
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<i>Om</i>	AI	"Active Branching Waveguide Modulator", Burns et al., <i>Applied Physics Letters</i> , vol. 29, No. 12, Dec. 1976, pp. 790-792.						
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Examiner	<i>Om</i>		Date Considered	12/04				
<p>*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.</p>								

U.S. Department of Commerce, Patent and Trademark Office		Atty Docket No.	Serial No.
		M-12004 US	Unknown
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant(s)	9-94448
		MacKinnon, Neil; Woodley, Bruce R.	
		Filing Date	Group
		Herewith 9-10-01	Unknown 292

U.S. Patent Documents

*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
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	AB						
	AC						
	AD						

Foreign Patent Documents

		Document	Date	Country	Class	Subclass	Yes	No	Translation
	AE								
	AF								
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OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)

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Examiner *OM* Date Considered 12/04

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U.S. Department of Commerce, Patent and Trademark Office		Atty Docket No.	Serial No.
		M-12004 US	Unknown 19-954495
INFORMATION DISCLOSURE STATEMENT BY APPLICANT		Applicant(s)	
(Use several sheets if necessary)		MacKinnon, Neil; Woodley, Bruce R.	
		Filing Date	Group
		Herewith 9-10-81	Unknown 28-58

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*Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
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<i>DM</i>	AH	"Epitaxial Liftoff Microcavities for 1.55-μm Quantum-Well Spatial Light Modulators", Matos et al., <i>IEEE Photonics Technology Letters</i> , vol. 11, No. 1, Jan. 1999, pp. 57-59.
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<i>DM</i>	AJ	"Widely Tunable Sampled Grating DBR Laser with Integrated Electroabsorption Modulator", Mason et al., <i>IEEE Photonics Technology Letters</i> , vol 11, No. 6, June 1999, pp. 638-640.
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<i>DM</i>	AL	"Single-Mode Fiber-Optic Polarizer", Bergh et al., <i>Optics Letters</i> , vol. 5, No. 11, Nov. 1980, pp. 479-481.
<i>DM</i>	AM	"Performance of Surface-Plasma-Wave Fiber-Optic Polarizers", Zervas et al., <i>Optics Letters</i> , vol. 15, No. 9, May 1990, pp. 513-515.
<i>DM</i>	AN	"Fabrication of a Side-Polished Fiber Polarizer with a Birefringent Polymer Overlay", Lee et al., <i>Optics Letters</i> , vol. 22, No. 9, May 1997, pp. 606-608.

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				M-12004 US	Unknown			
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)				Applicant(s)				
				MacKinnon, Neil; Woodley, Bruce R.				
				Filing Date	Group			
				Herewith		Unknown		
U.S. Patent Documents								
*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate	
	AA							
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	AC							
	AD							
Foreign Patent Documents							Translation	
		Document	Date	Country	Class	Subclass	Yes	No
	AE							
OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.)								
<i>On</i>	AF	"UV-Induced Surface-Relief Gratings on LiNbO ₃ Channel Waveguides", Wu et al., <i>IEEE Journal of Quantum Electronics</i> , vol. 35, No. 10, Oct. 1999, pp. 1369-1373.						
<i>On</i>	AG	"Metal-Diffused Optical Waveguides in LiNbO ₃ ", Schmidt et al., <i>Applied Physics Letters</i> , vol. 25, No. 8, Oct. 1974, pp. 458-460.						
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Examiner	<i>On</i>	Date Considered		<i>12/04</i>				
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with your communication to applicant.								

U.S. Department of Commerce, Patent and Trademark Office		Atty Docket No.	Serial No.
		M-12004 US	89-954493
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant(s)	
		MacKinnon, Neil; Woodley, Bruce R.	
		Filing Date	Group
		9-10-01	2828

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*Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
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	AB						
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Foreign Patent Documents

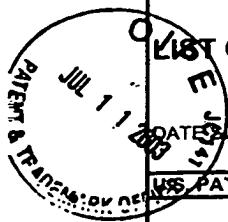
		Document	Date	Country	Class	Subclass	Yes	No	Translation
	AG								
	AH								
	AI								
	AJ								
	AK								

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<i>GM</i>	AM	Oppenheim et al, "Filter Design Techniques", <u>Discrete-Time Signal Processing</u> , Prentice Hall, Englewood Cliffs, New Jersey, 1989, pages 403-480. <i>(no month)</i>
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Examiner *GM* Date Considered 12/10/01

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FORM PTO 1449 MODIFIED U.S. PATENT AND TRADEMARK OFFICE		ATTORNEY DOCKET NO.	APPLICATION NO.			
		215248.00004	09/954,495			
		APPLICANT				
		Bruce R. WOODLEY				
		FILING DATE	GROUP			
		09/10/2001	2881-2828			
LIST OF REFERENCES CITED BY APPLICANTS(S)						
DATE SUBMITTED TO USPTO: July 11, 2003						
US PATENT DOCUMENTS						
EXAMINER INITIALS	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
<i>JM</i>	5,581,572	12/03/1996	DELORME, et al.	372	50	
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FOREIGN PATENT DOCUMENTS				TECHNOLOGY CENTER 2800	RECEIVED JUL 14 2001	
DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION OR ABSTRACT	
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, etc.)						
<i>JM</i>	Copy of International Search Report issued in Application No. PCT/US02/28569 dated March 11, 2003					
EXAMINER	<i>JM</i>	DATE CONSIDERED		17-04		

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